

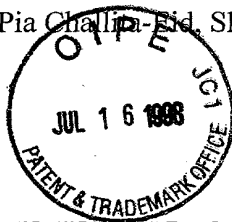
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Joseph D. Rosenblatt, Pia Challa-Rid, Sherie Morrison, Camille N. Abboud, Seung-Uon Shin

Serial No. : 09/016,743

Filed : January 30, 1998

For : CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE



TRANSMITTAL LETTER

Assistant Commissioner For Patents
Washington, D.C. 20231
Box: Missing Parts

Dear Sir:

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d) which was mailed by the United States Patent and Trademark Office on **March 18, 1998**, enclosed are:

- ☒ Two Combined Declarations and Powers of Attorney.
- ☒ A Request for Two-Month Extension of Time.
- ☒ Two verified statements to establish small entity status under 37 CFR 1.9 and 1.27.
- ☒ A Request for Corrected Filing Receipt and copy of Official Filing Receipt.
- ☒ A copy of the Notice to File Missing Parts.
- ☒ A self-addressed, prepaid postcard for acknowledging receipt.
- ☒ Fees as calculated below:

| | |
|-------------------------------------|----------|
| FEE FOR TWO-MONTH EXTENSION OF TIME | \$200.00 |
| SURCHARGE 37 CFR 1.16(e) | \$ 65.00 |
| ADDITIONAL FEES | \$ |
| TOTAL FEES SUBMITTED HEREWITH | \$265.00 |

- ☒ A check in the amount of **\$265.00** to cover the above fees.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 14-1138. A duplicate copy of this sheet is enclosed.

Date: 7/13/98

07/22/1998 MPEOPLES 00000026 09016743

01 FC:216
02 FC:205

200.00 DP
Nixon, Hargrave, Devans & Doyle LLP
Clinton Square, P.O. Box 1051
Rochester, New York 14603
Telephone: (716) 263-1741
Facsimile: (716) 263-1600
R191372.1

Dennis M. Connolly
Dennis M. Connolly
Registration No. 40,964

Certificate of Mailing - 37 CFR 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.

July 13, 1998 Ruth R. Smith
Date Ruth R. Smith

RECEIVED
98 JUL 24 AM 7:29
GROUP 180

DECLARATION FOR PATENT
APPLICATION AND POWER OF ATTORNEY
(Includes Reference to PCT International Applications)

JUL 16 1998

ATTORNEY'S DOCKET NUMBER
6/60192 (6-11405-
675/676)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below)
or an original, first and joint inventor (if plural names are listed below)
of the subject matter which is claimed and for which a patent is sought on the invention
entitled:

CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR
IMMUNE RESPONSE

the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application Serial No. 09/016,743
on January 30, 1998 and was amended under PCT Article 19 on _____
(if applicable).

☐ was filed as PCT international application Number _____
on _____ and was amended under PCT Article 19 on _____
(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified
specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of
this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any
foreign application(s) for patent or inventor's certificate or of any PCT international
application(s) designating at least one country other than the United States listed below
and have also identified below any foreign application(s) for patent or inventor's
certificate or any PCT international application(s) designating at least one country other
than the United States of America filed by me on the same subject matter having a filing
date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

| COUNTRY (IF PCT, indicate "PCT") | APPLICATION NUMBER | DATE OF FILING (day, month, year) | PRIORITY CLAIMED UNDER 35 USC 119 |
|-------------------------------------|--------------------|--------------------------------------|---|
| United States | 60/037,256 | 31, Jan. 1997 | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| United States | 60/064,018 | 03, Nov. 1997 | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States
application(s) or PCT international application(s) designating the United States of
America that is/are listed below and, insofar as the subject matter of each of the claims
of this application is not disclosed in that/those prior application(s) in the manner
provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the
duty to disclose material information as defined in Title 37, Code of Federal Regulations,
§ 1.56(a) which occurred between the filing date of the prior application(s) and the
national or PCT International filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT
UNDER 35 U.S.C. 120:

| U.S. APPLICATIONS | | STATUS (Check One) | | | |
|---------------------------------------|--------------------|--|---------|-----------|--|
| U.S. APPLICATION NUMBER | U.S. FILING DATE | PATENTED | PENDING | ABANDONED | |
| | | | | | |
| | | | | | |
| PCT APPLICATIONS DESIGNATING THE U.S. | | | | | |
| PCT APPLICATION NO. | PCT FILING DATE | U.S. SERIAL NUMBERS ASSIGNED (if any) | | | |
| | | | | | |
| | | | | | |

COMBINED DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Continue)

ATTORNEY'S DOCKET NUMBER
176/60192 (6-11405-675/676)




POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964;
Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq.
Nixon, Hargrave, Devans & Doyle LLP
Clinton Square, P. O. Box 1051
Rochester, New York 14603

Direct Telephone Calls to:
(name and telephone number)
Michael L. Goldman
(716) 263-1304

| | | | | |
|-----|-------------------------|-----------------------------------|-----------------------|------------------------|
| 201 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | | Rosenblatt | Joseph | D. |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 88 Southern Parkway | Rochester | New York 14618/USA |
| 202 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | | Challita-Eid | Pia | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | Lebanon |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 517 Richardson Road | Rochester | New York 14623/USA |
| 203 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | | Morrison | Sherie | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Los Angeles | California | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 258 Denslow Avenue | Los Angeles | California 90049/USA |
| 204 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | | Abboud | Camille | N. |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 485 Clover Hills Drive | Rochester | New York 14618/USA |
| 205 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | | Shin | Seung-Uon | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Los Angeles | California | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 3261 S. Sepulveda Blvd., Apt. 208 | Los Angeles | California 90034/USA |

| | | |
|---|--|-------------------------------|
| <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.</p> | | |
| SIGNATURE OF INVENTOR 201  | SIGNATURE OF INVENTOR 202  | SIGNATURE OF INVENTOR 203 |
| DATE 4/23/98 | DATE 5/01/98 | DATE |
| SIGNATURE OF INVENTOR 204  | SIGNATURE OF INVENTOR 205 | SIGNATURE OF INVENTOR 206 |
| DATE 5/12/98 | DATE | DATE |

SIGNATURE OF INVENTOR 203

DATE _____

SIGNATURE OF INVENTOR 206

DATE _____

COMBINED DECLARATION FOR PATENT
APPLICATION AND POWER OF ATTORNEY
(Includes Reference to PCT International Applications)

JUL 16 1998

ATTORNEY'S DOCKET NUMBER
176/60192 (6-11405-
675/676)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below)
or an original, first and joint inventor (if plural names are listed below)
of the subject matter which is claimed and for which a patent is sought on the invention
entitled:

**CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR
IMMUNE RESPONSE**

the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application Serial No. 09/016,743
on January 30, 1998 and was amended under PCT Article 19 on _____
(if applicable).

☐ was filed as PCT international application Number _____
on _____ and was amended under PCT Article 19 on _____
(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified
specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of
this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any
foreign application(s) for patent or inventor's certificate or of any PCT international
application(s) designating at least one country other than the United States listed below
and have also identified below any foreign application(s) for patent or inventor's
certificate or any PCT international application(s) designating at least one country other
than the United States of America filed by me on the same subject matter having a filing
date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

| COUNTRY (If PCT, indicate "PCT") | APPLICATION NUMBER | DATE OF FILING (day, month, year) | PRIORITY CLAIMED UNDER 35 USC 119 |
|-------------------------------------|--------------------|--------------------------------------|---|
| United States | 60/037,256 | 31, Jan. 1997 | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| United States | 60/064,018 | 03, Nov. 1997 | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States
application(s) or PCT international application(s) designating the United States of
America that is/are listed below and, insofar as the subject matter of each of the claims
of this application is not disclosed in that/those prior application(s) in the manner
provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the
duty to disclose material information as defined in Title 37, Code of Federal Regulations,
§ 1.56(a) which occurred between the filing date of the prior application(s) and the
national or PCT International filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT
UNDER 35 U.S.C. 120:**

| U.S. APPLICATIONS | | STATUS (Check One) | | |
|---------------------------------------|--------------------|--|---------|-----------|
| U.S. APPLICATION NUMBER | U.S. FILING DATE | PATENTED | PENDING | ABANDONED |
| | | | | |
| | | | | |
| PCT APPLICATIONS DESIGNATING THE U.S. | | | | |
| PCT APPLICATION NO. | PCT FILING DATE | U.S. SERIAL NUMBERS ASSIGNED (if any) | | |
| | | | | |
| | | | | |

COMBINED DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Continue)

JUL 16 1998

ATTORNEY'S DOCKET NUMBER
876/60192 (6-11405-675/676)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964;
Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq.
Nixon, Hargrave, Devans & Doyle LLP
Clinton Square, P. O. Box 1051
Rochester, New York 14603

Direct Telephone Calls to:
(name and telephone number)
Michael L. Goldman
(716) 263-1304

| | | | | |
|-----|-------------------------|-----------------------------------|-----------------------|------------------------|
| 201 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | ROSENBLATT | JOSEPH | D. | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 88 Southern Parkway | Rochester | New York 14618/USA |
| 202 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | CHALLITA-EID | PIA | | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | Lebanon |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 517 Richardson Road | Rochester | New York 14623/USA |
| 203 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | MORRISON | SHERIE | | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Los Angeles | California | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 258 Denslow Avenue | Los Angeles | California 90049/USA |
| 204 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | ABBODD | CAMILLE | N. | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Rochester | New York | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 485 Clover Hills Drive | Rochester | New York 14618/USA |
| 205 | FULL NAME OF INVENTOR | FAMILY NAME | FIRST GIVEN NAME | SECOND GIVEN NAME |
| | SHIN | SEUNG-UON | | |
| | RESIDENCE & CITIZENSHIP | CITY | STATE/FOREIGN COUNTRY | COUNTRY OF CITIZENSHIP |
| | | Los Angeles | California | United States |
| | POST OFFICE ADDRESS | P.O. ADDRESS | CITY | STATE & ZIP CODE/CTRY |
| | | 3261 S. Sepulveda Blvd., Apt. 208 | Los Angeles | California 90034/USA |

| | | |
|---|---|--|
| <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.</p> | | |
| SIGNATURE OF INVENTOR 201 | SIGNATURE OF INVENTOR 202 | SIGNATURE OF INVENTOR 203 <i>Shane L. Morison</i> |
| DATE | DATE | DATE <i>5/14/98</i> |
| SIGNATURE OF INVENTOR 204 | SIGNATURE OF INVENTOR 205 <i>Sergan Shin</i> | SIGNATURE OF INVENTOR 206 |
| DATE | DATE <i>6/25/98</i> | DATE |

Page 3 of 3

THE
SOCIETY OF
MUSICIANS
OF THE
CITY OF
LONDON



Applicant: Joseph D. Rosenblatt, Pia Challita-Eid
Inventor: Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Attorney's Docket No.: 176/60192
Serial or Patent No.: 09/016,743
Filed or Issued: January 30, 1998
For: CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION
OF AN ANTITUMOR IMMUNE RESPONSE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF CONCERN University of Rochester
ADDRESS OF CONCERN 518 Hylan Building
Rochester, New York 14627-0140

TYPE OF ORGANIZATION _____

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE** by inventor(s) Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

- ☐ the specification filed herewith
☒ application serial no. 09/016,743, filed January 30, 1998
☐ patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).
*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME The Regents of the University of California
ADDRESS 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

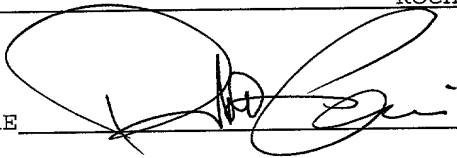
NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Robert R. Goodwin, Ph.D.
TITLE OF PERSON OTHER THAN OWNER Director, Office of Technology Transfer
ADDRESS OF PERSON SIGNING University of Rochester
518 Hylan Building
Rochester, New York 14627-0140\

SIGNATURE



DATE

4/21/98



Joseph D. Rosenblatt, Pia Challita-Eid
Applicant: Patentee: Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Attorney's Docket No.: 176/60192
Serial or Patent No.: 09/016,743
Filed or Issued: January 30, 1998
For: CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION
OF AN ANTITUMOR IMMUNE RESPONSE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF CONCERN The Regents of the University of California
ADDRESS OF CONCERN 300 Lakeside Drive, 22nd Floor
Oakland, California 94612-3550

TYPE OF ORGANIZATION _____

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE by inventors Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

- ☐ the specification filed herewith
☒ application serial no. 09/016,743, filed January 30, 1998
☐ patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).
*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME University of Rochester
ADDRESS 518 Hylan Building, Rochester, New York 14627-0140
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [X] NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING EMILY E. WALDRON
TITLE OF PERSON OTHER THAN OWNER Technology Transfer Officer
ADDRESS OF PERSON SIGNING The Regents of the University of California
300 Lakeside Drive, 22nd Floor
Oakland, California 94612-3550

SIGNATURE  DATE JUNE 26, 1998